# UTILITY PATENT APPLICATION TRANSMITTAL

TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))

Express Mail Mailing Label No.: EM40114080005 -								
Attorney Docket No.	CTX-057 (1545/104)	-						
First Named Inventor	Kramer	į						
Title	A System And Method Of Exploiting The Security Of A Secure Communication Channel To Secure A Non- Secure Communication Channel	2						

APPLICATION ELEMENTS	ADDRESS TO: Box Patent Application Assistant Commissioner for Patents Washington, D.C. 20231							
1. Eee Transmittal Form	ACCOMPANYING APPLICATION PARTS							
<ul> <li>Specification and Drawings [Total Pages 26]</li> <li>X - Written Description - (18 pages)</li> <li>X - Claims - (5 pages)</li> </ul>	7. Statement (when there is an assignee) Power of Attorney							
X - Abstract - (1 page) X - Sheets of Drawings - (2 sheets)	8. English Translation Document (if applicable)							
Formal Informal	9. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations							
<ul> <li>3.</li></ul>	10. Preliminary Amendment Drawings [Total Sheets ] Letter to Official Draftsperson Including Drawings [Total Pages ]							
[Note Box 4 below]	11. Return Receipt Postcard							
4. Incorporation by Reference (usable if Box 3b is checked)  The entire Disclosure of the prior application, from which a copy of the oath or declaration is supplied	12. Small Entity Statement(s) Statements filed in prior application, (Status still proper and desired)							
under Box 3b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.	13. Certified Copy of Priority Document(s)							
.5. Microfiche Computer Program (Appendix)	14. Deletion of Inventor(s)  Signed statement attached deleting inventor(s) named in the prior application.							
6. Nucleotide and/or Amino Acid Sequence Submission  Computer Readable Copy Paper Copy (identical to computer copy)	15. Patent Application Data Entry Form (1 page)  16. Other:							
Statement verifying identity of above copies								
Priority to the above application(s) is claimed und Prior application information: Examiner: (	n-in-part (CIP) of prior application Serial No.							
18. Priority - 35 U.S.C. 119  Priority of application Serial No filed on in is claimed under 35 U.S.C. 119.  The certified copy has been filed in prior U.S. application Serial No/ on  The certified copy will follow.								
CORRESPONDENCE ADDRESS	SIGNATURE BLOCK							
Direct all correspondence to:  Patent Administrator Testa, Hurwitz & Thibeault, LLP High Street Tower 125 High Street Boston, MA 02110 Tel. No.: (617) 248-7000 Fax No.: (617) 248-7100	Respectfully submitted,  Michael A. Rodriguez  Attorney for Applicant(s)  Testa, Hurwitz & Thibeault, LLP  High Street  Boston, MA 02110							

ABRAMSON1545/104.1098025

Express Mail Label No.: EM401140800US

# FEE TRANSMITTAL FY 2001

Not Yet Assigned	
101 I 01 I 1001E1100	i
Herewith	
Kramer	
Not Yet Assigned	
lot Yet Assigned	
CTX-057 (1545/104)	
	Herewith Kramer Not Yet Assigned Not Yet Assigned CTX-057 (1545/104)

METHOD OF DAYMENID	DEPT CATACON ATTACON A					
METHOD OF PAYMENT  1.  Payment Enclosed:	FEE CALCULATION (continued)					
Payment Enclosed:   Check   Money Order   Other	3. ADDITIONAL FEES					
△ Check	Large Entity	Small Entity				
2. The Commissioner is hereby authorized to credit	Fee	Fee	Fee Description Fee Paid			
or charge any fee indicated below for this submission	(S)	(\$)	ree Description ree raid			
to Deposit Account No. 20-0531.		(4)				
Required Fees (copy of this sheet enclosed).	130	65	Surcharge - late filing fee or oath			
Additional fee required under 37 CFR 1.16 and	50	25	Surcharge - late provisional filing fee			
1.17.			or cover sheet			
Overpayment Credit.	130	130	Non-English specification			
	2,520	2,520	For filing a request for reexamination			
FEE CALCULATION	110	55	Extension for reply within first month			
1. FILING FEE	390	195	Extension for reply within second			
Lorgo Entity	900	445	month			
Large Entity	890	445	Extension for reply within third month			
Fee (\$) Fee Description Fee Paid	1,390	695	Extension for reply within fourth month			
710 Utility filing fee 710.00	1,890	945	Extension for reply within fifth month			
710 Utility filing fee 710.00	310	155	Notice of Appeal			
320 Design filing fee	310	155	Filing a brief in support of an appeal			
320 Design filing fee 150 Provisional filing fee  Number Number Rate Amount Filed Extra	270	135	Request for oral hearing			
The state of the s	130	130	Petitions to the Commissioner			
Number Number Rate Amount	50	50	Petitions related to provisional			
Number Number Rate Amount Filed Extra	240	240	applications			
Total Claims $36 - 20 = 16 \times 18.00 = 288.00$	240	240	Submission of Information Disclosure Statement (37 CFR 1.97(c))			
	130	130	Submission of Information Disclosure			
Independent	130	150	Statement (37 CFR 1.97(d))			
Independent $ \begin{array}{ccccccccccccccccccccccccccccccccccc$	710	355	Filing a submission after final			
Organisms 1			rejection			
			(37 CFR 1.129(a))			
Multiple Dependent Claim(s), if any \$270.00 =	710	355	For each additional invention to be			
1 Control of the Cont	0.1 0 (0		examined (37 CFR 1.129(b))			
TOTAL: 1078.00 SMALL ENTITY DISCOUNT:	Other fee (Specify)					
SUBTOTAL (1) (\$) 1078.00	Other fee (Specify)					
2. AMENDMENT CLAIM FEES	4					
Claims Highest No. Present Rate Fee Paid	1		SUBTOTAL (3) (\$)			
Remaining Previously Extra	SUBIUIAL (3) (3)					
After Amend. Paid For						
Jotal - = x \$ 18.00 =	1		GLIDWOM LY (1)			
Indep x \$ 18.00 = x \$ 80.00 =			SUBTOTAL (1) 1078.00			
First Presentation of Multiple Dep. + \$270.00 =	SUBTOTAL (2) 0.00 SUBTOTAL (3) 0.00					
Claim			30D101AL(3) 0.00			
TOTAL: (\$)			<u> </u>			
SMALL ENTITY DISCOUNT: (\$)	<u></u>					
SUBTOTAL (2) (\$)	TOTAL (\$) 1078.00					
CORRESPONDENCE ADDRESS	SIGNATURE BLOCK					
Direct all correspondence to:			Respectfully submitted, /			
Patent Administrator						
Testa, Hurwitz & Thibeault, LLP	Date: Novem					
High Street Tower-125 High Street	Reg. No.: 41		Michael A. Rodriguez			
Boston, MA 02110	Tel. No.: (617) 248-7501 Attorney for the Applicants  Fax No.: (617) 248-7100 Testa, Hurwitz & Thibeault, LLP  High Street Transport 125 High Street					
Tel. No.: (617) 248-7000						
Fax No.: (617) 248-7100	High Street Tower-125 High Street					
	Boston, MA 02110					

### **Inventor Information**

Inventor One Given Name :: Andre Family Name :: Kramer

Name Suffix ::

Postal Address Line One :: 55 Victoria Park

Postal Address Line Two ::

City:: Cambridge

State/Province ::

Country:: United Kingdom

Postal or Zip Code :: CB4 3EJ City of Residence :: Cambridge

State/Prov. of Residence ::

Country of Residence :: United Kingdom

Citizenship:: German

Inventor Two Given Name :: Will Family Name :: Harwood

Name Suffix ::

Postal Address Line One :: 28 High Street

Postal Address Line Two ::

City:: Great Shelford

State/Province :: Cambs

Country:: United Kingdom
Postal or Zip Code:: CP2 SELL

Postal or Zip Code :: CB2 5EH
City of Residence :: Great Shelford

State/Prov. of Residence :: Cambs

Country of Residence :: United Kingdom

Citizenship:: British

Correspondence Information

Correspondence Customer Number :: 021323

Application Information

Title Line One :: A System And Method Of Exploiting The Security Of A Secure Communication

Title Line Two :: Channel To Secure A Non-Secure Communication Channel

Total Drawing Sheets :: 2
Formal Drawings :: Yes
Application Type :: Utility
Docket Number :: CTX-057

20

25

5

10

Utility Patent Application CTX-057 (1545/104)

A SYSTEM AND METHOD OF EXPLOITING THE SECURITY OF A SECURE COMMUNICATION CHANNEL TO SECURE A NON-SECURE COMMUNICATION CHANNEL

### FIELD OF THE INVENTION

The invention relates generally to client-server computer networks. More specifically, the invention relates to a system and method for securely accessing software applications using a remote display protocol.

### **BACKGROUND OF THE INVENTION**

Software applications that are requested to be remotely displayed on a client computer, or client, are commonly accessed with a graphical or windowing terminal session. When a user requests an application on a client computer, the application executes on a server and typically the input information (e.g., mouse and keyboard information) and display information are transmitted from the server computer to the client computer. Graphical or windowing terminal sessions often make use of unauthenticated connections between the client and the server. Alternatively, the graphical or windowing terminal session may authenticate the connection between the client and the server with the user supplying his password to the server.

The aforementioned techniques employed by the terminal sessions have various shortcomings. For example, transmitting information, such as password information, to an unauthenticated server allows the information to be viewed by a server that is not trusted by the client. The non-secure connection permits an eavesdropper to intercept a user's password for future use.

5

To avoid these problems, the client and server are typically authenticated using conventional cryptographic techniques. One type of cryptographic technique used by networks is a ticket-based authentication scheme. Most current ticket-based authentication schemes transmit a ticket. The ticket, which can typically be used only one time, may contain an encryption key to be used in future communications and/or may contain a secret password to support the future communications. When the client and the server both have the encryption key, they can communicate securely.

However, the current ticket-based authentication schemes are limited in several areas. First, the ticket is typically transmitted to the client over a non-secure communication channel, thereby allowing an eavesdropper to intercept the ticket and retrieve the encryption key. Using the encryption key, the eavesdropper can pose as the server to the client or as the client to the server. Second, the current schemes do not take advantage of secure web pages. For example, current ticket-based authentication schemes make transactions over the internet, such as purchases, unsafe because proprietary information, such as a purchaser's credit card information, can be transmitted to a non-secure web page. Third, software applications executing on a server are commonly transmitted over a non-secure communication channel for display on a remote display protocol on a client machine. For instance, networks may consist of specialized application servers (e.g., Metaframe for Windows, manufactured by Citrix Systems, Inc. of Ft. Lauderdale, Florida), to execute specific applications which are typically transmitted to a remote display service over a non-secure communication channel. Fourth, although the ticket can typically be used only one time (i.e., making it a "one-time use" ticket) and having no further value after its first use, the one-time use ticket does not protect the user's password (which is used for login into an operating system or an application) from an eavesdropper on the ticket's

5

first transmission. Therefore, the user's password is still not completely protected from interception and the server is consequently not authenticated to the client.

### SUMMARY OF THE INVENTION

The present invention features a system and method for establishing a secure communication channel between a client and an application server. A ticket service generates a ticket having an identifier and a session key. A communications device obtains the ticket from the ticket service and transmits the ticket to a client over a secure communication channel. The client transmits the identifier of the ticket to an application server over an application communication channel. The application server then obtains a copy of the session key of the ticket from the ticket service. Communications exchanged between the client and the application server over the application communication channel are then encrypted using the session key to establish the application communication channel as a secure communication channel.

In one embodiment, a web browser executing on a client establishes communications with a web server over a secure web communication channel. The client receives a ticket having an identifier and a session key from the web server over the secure web communication channel. The client then transmits the identifier of the ticket to the application server over the application communication channel to provide the application server with information for obtaining a copy of the session key.

In one aspect, the invention relates to a method for establishing a secure communication channel between a client and an application server. The client receives a ticket having an identifier and a session key from a web server over a secure web communication channel. The client then transmits the identifier of the ticket to the application server over an application communication channel to provide the application server with information for obtaining a copy

5

of the session key. The client establishes a secure communication channel over the application communication channel by using the session key to encrypt and decrypt communications to and from the application server. The identifier is a nonce. In one embodiment, the client and the web server use secure socket layer technology to establish the secure web communication channel.

In another aspect, the invention relates to a communications system that establishes a secure communication channel. The communications system includes a client, an application server, a communications device, and a ticket service. The ticket service generates a ticket having an identifier and a session key. The communications device is in communication with the ticket service to obtain the ticket. The client is in communication with the communications device over a secure communication channel to receive the ticket from the communications device. The application server is in communication with the client over an application communication channel to receive the identifier of the ticket from the client and in communication with the ticket service to obtain a copy of the session key from the ticket service. The application server and the client exchange communications over the application communication channel as a secure communication channel. In one embodiment, the ticket service resides on the communications device. In one embodiment, the communications device is a web server.

### DESCRIPTION OF THE DRAWINGS

The aspects of the invention presented above and many of the accompanying advantages of the present invention will become better understood by referring to the included drawings, which show a system according to the preferred embodiment of the invention and in which:

5

Fig. 1 is a block diagram of an embodiment of a communication system for establishing secure communications between a client and an application server in accordance with the principles of the invention; and

Fig. 2 is a flow diagram of an embodiment of the communications performed by the communications system shown in Fig. 1 to establish secure communications between the client and the application server.

### **DETAILED DESCRIPTION**

Fig. 1 shows a block diagram of an embodiment of a communication system 100 including a client 10 in communication with an application server 15 over an application communication channel 25 and in communication with a communications device 20 over a communication channel 30. The communication channel 30 and the application communication channel 25 pass through a network 27. In other embodiments, the communication channel 30 and the application channel 25 pass through other, different networks. For example, the communication channel 30 can pass through a first network (e.g., the World Wide Web) and the application communication channel 30 can pass through a second network (e.g., a direct dial-up modem connection). The communication channel 30 is a secure communication channel in that communications are encrypted. The application server 15 is additionally in communication with the communications device 20 over a server communication channel 35. The application server 15 and the communications device 20 are part of a server network 33. By exploiting the security of the secure communications between the client 10 and the communications device 20 over the secure communication channel 30, the communication system 100 establishes a secure communication link over the non-secure application communication channel 25 to remotely display desktop applications securely on the client 10.

The network 27 and the server network 33 can be a local-area network (LAN) or a wide area network (WAN), or a network of networks such as the Internet or the World Wide Web (i.e., web). The communication channel 30 can be any secure communication channel. In one embodiment, the communication channel 30 (hereafter web communication channel 30) supports communications over the web. In one embodiment, the server network 33 is a protected network that is inaccessible by the public. The server communication channel 35 traverses the server network 33 and therefore can be a non-secure communication channel. Example embodiments of the communication channels 25, 30, 35 include standard telephone lines, LAN or WAN links (e.g., T1, T3, 56kb, X.25), broadband connections (ISDN, Frame Relay, ATM), and wireless connections. The connections over the communication channels 25, 30, 35 can be established using a variety of communication protocols (e.g., HTTP, TCP/IP, IPX, SPX, NetBIOS, Ethernet, RS232, and direct asynchronous connections).

The client 10 can be any personal computer (e.g., 286, 386, 486, Pentium, Pentium II, Macintosh computer), Windows-based terminal, Network Computer, wireless device (e.g., cellular phone), information appliance, RISC Power PC, X-device, workstation, mini computer, main frame computer, personal digital assistant, or other communications device that is capable of communicating over the secure web communication channel 30. In one embodiment, the client 10 operates according to a server-based computing model. In a server-based computing model, the execution of application programs occurs entirely on the application server 15 and the user interface, keystrokes, and mouse movements are transmitted over the application communication channel 25 to the client 10. The user interface can be text driven (e.g., DOS) or graphically driven (e.g., Windows). Platforms that can be supported by the client 10 include DOS and Windows CE for windows-based terminals.

5

# Express Mail Label No.: EM401140800US

In one embodiment, the client 10 includes a web browser 40, such as Internet Explorer<sup>TM</sup> developed by Microsoft Corporation in Redmond, WA, to connect to the web. In a further embodiment, the web browser 40 uses the existing Secure Socket Layer (SSL) support, developed by Netscape in Mountain View, California, to establish the secure web communication channel 30 to communications devices such as the communications device 20. The web browser 40 also has a user interface that may be text driven or graphically driven. The output of an application executing on the application server 15 can be displayed at the client 10 via the user interface of the client 10 or the user interface of the web browser 40. Additionally, the client 10 includes an application client 41 for establishing and exchanging communications with the application server 15 over the application communication channel 25. In one embodiment, the application client 41 is the Independent Computing Architecture (ICA) client, developed by Citrix Systems, Inc. of Fort Lauderdale, Florida, and is hereafter referred to as ICA client 41. Other embodiments of the application client 41 include the Remote Display Protocol (RDP), developed by Microsoft Corporation of Redmond, Washington, X-Windows, developed by Massachusetts Institute of Technology of Cambridge, Massachusetts, a data entry client in a traditional client / server application, and a Java applet.

The application server 15 hosts one or more application programs that can be accessed by the client 10. Applications made available to the client 10 for use are referred to as published applications. Examples of such applications include word processing programs such as MICROSOFT WORD® and spreadsheet programs such as MICROSOFT EXCEL®, both manufactured by Microsoft Corporation of Redmond, Washington, financial reporting programs, customer registration programs, programs providing technical support information, customer database applications, or application set managers. In another embodiment, the application

5

# Express Mail Label No.: EM401140800US

server 15 is a member of a server farm (not shown). A server farm is a logical group of one or more servers that are administered as a single entity.

In one embodiment, the communications device 20 (hereafter web server 20) is a computer that delivers web pages to the client 10. In other embodiments, the communications device 20 can be any personal computer (e.g., 286, 386, 486, Pentium, Pentium II, Macintosh computer), Windows-based terminal, Network Computer, wireless device (e.g., cellular phone), information appliance, RISC Power PC, X-device, workstation, mini computer, main frame computer, personal digital assistant, or other communications device that is capable of establishing the secure web communication channel 30 with the client 10.

In one embodiment, the web server 20 also includes a ticket service 60. The ticket service 60 controls communication security. The ticket service 60 generates a ticket containing an encryption key. The ticket is transmitted to the client 10 (i.e., the web browser 40) over the secure web communication channel 30. The transmission of the ticket to the client 10 over the secure web communication channel 30 facilitates the establishment of secure communications over the application communication channel 25 between the client 10 and the application server 15 in accordance with the principles of the invention. In another embodiment, the ticket service 60' resides on another server 20'. The server 20' (and ticket service 60') is in communication with the web server 20 and the application server 15 over a server communication channel 35'. In yet another embodiment, the ticket service 60 is a separate component (not shown) of the server network 33. The web browser 40 then sends the ticket to the ICA client 41. A technique often used to transmit application data from applications executing on the application server 15 over a secure connection to the client 10 is to transmit the application data to the client 10 through the web server 20 over the secure connection between the client 10 and the web server

5

20. This technique is inefficient in that communication between the application server 15 and the client 10 takes an additional "hop"; namely the web server 20. The present invention uses the ticketing mechanism to establish a secure communication link directly between the application server 15 and the client 10, thereby eliminating the intermediate transmission of application data from the application server 15 to the web server 20.

A client user requesting an application or server desktop, for example, to be remotely displayed on the client 10 first establishes a communication link 32 with the web server 20 over the web communication channel 30 and passes login and password information to the web server 20. In one embodiment, the client user uses the web browser 40 to request an application from the web server 20 that is listed on a web page displayed by the web browser 40.

In a further embodiment, the web browser 40 uses SSL to establish the secure web communication channel 30. To use the SSL protocol to establish the secure web communication channel 30, the web browser 40 or an application executing on the client 10 attempts to connect to a secure web page on the web server 20. The web server 20 then asserts the web server's identity to the client 10 by transmitting a secure web server certificate to the client 10. A certification authority (CA) issues the secure web server certificate to the web server 20. Web browsers 40 have a list of trusted CAs (i.e., public key of the CA) embedded within the software of the web browser 40. The client 10 verifies the web server certificate by decrypting the signature of the CA in the web server's certificate with the public key of the CA embedded in the web browser 40 (or application). Therefore, in order to establish a secure communication channel using SSL, the web browser 40 or the application executing on the client 10 has the public key of the CA embedded in the software prior to attempting to connect to the secure web page. Besides using the SSL protocol to establish the secure web communication channel 30, the

5

web browser 40 can connect to the web server 20 over the web communication channel 30 using other security protocols, such as, but not limited to, Secure Hypertext Transfer Protocol (SHTTP) developed by Terisa Systems of Los Altos, CA, HTTP over SSL (HTTPS), Private Communication Technology (PCT) developed by Microsoft Corporation of Redmond, Washington, Secure Electronic Transfer (SET), developed by Visa International, Incorporated and Mastercard International, Incorporated of Purchase, NY, Secure-MIME (S/MIME) developed by RSA Security of Bedford, Massachusetts, and the like.

Once the communication link 32 is established, the web server 20 generates a ticket for the communication session. The ticket includes a first portion and a second portion. In one embodiment, the first portion, also referred to as a session identifier (ID) or nonce, is a cryptographic random number that can be used within a certain time period determined by the web server 20. The second portion is an encryption key, hereafter referred to as a session key. The web server 20 stores the ticket in local memory and then transmits (arrow 34) a copy of the ticket to the web browser 40 on the client 10.

In one embodiment, the ticket includes additional information, such as the network address of the application server 15. In another embodiment, the web server 20 independently transmits the address of the application server 15 to the client 10. For example, if the client 10 requests an application by name from the web server 20, the web server 20 converts the application name into the network address of the application. Examples of the additional information included in the ticket are, but not limited to, the time that the ticket is valid, the screen size of the application when displayed on the client 10, the bandwidth limits of the web communication channel 30 and/or the application communication channel 25, and billing information. As described more fully below, the web server 20 also associates the user's login

information, such as the user's password, with the ticket stored in local memory for future retrieval by the application server 15.

The ICA client 41 obtains the ticket from the web browser 40 and subsequently transmits (arrow 42) the session ID (i.e., the first potion) of the ticket to the application server 15. The session ID can be transmitted in encrypted or cleartext form. The application server 15 decrypts the session ID, if encrypted, and transmits (arrow 44) a request to the web server 20 for a session key that corresponds to the session ID received from the client 10. The web server 20 verifies the session ID, as described below, and sends (arrow 48) the corresponding session key to the application server 15 over the server communication channel 35.

Both the application server 15 and the client 10 (i.e., the ICA client 41) now possess a copy of the session key without requiring the transmission of the ticket or the session key over the non-secure application communication channel 25. By using the session key to encrypt and decrypt the communications over the previously non-secure application communication channel 25, the client 10 and the application server 25 establish (arrow 50) a secure communication link 50 over the application communication channel 25. Moreover, the user's login information (e.g., password) is not transmitted between the client 10 and the application server 15 over the non-secure application communication channel 25. Therefore, the present invention strengthens (arrow 50) the security of the communication link 50 over the non-secure application communication channel 25 by not exposing sensitive information, such as the user's password, to eavesdroppers intercepting communications over the non-secure application communication channel 25. Additionally, because the application server 15 and the client 10 communicate with the same session key, they share a secret that was transmitted by the ticket service 60. The ticket service 60 indirectly authenticates the application server 15 and the client 10, and the ticket

5

# Express Mail Label No.: EM401140800US

service 60 is vouching for each. Therefore, the authentication server 15 and the client 10 perform mutual authentication. In one embodiment, the client 10 again transmits the user's password over the web communication channel 30 to the web server 20 to provide compatibility with legacy systems (e.g., an unmodified operating system login sequence on the web server 20 that requires the client 10 to transmit the user's password multiple times).

In more detail, Fig. 2 shows embodiments of a process performed by the communications system 100 to establish a secure communication link 50 over the application communication channel 25 between the client 10 and the application server 15. The web browser 40 lists (step 200) web links to software applications or server desktops on the web page that the user of the client 10 views. The client user, using the web browser 40, requests (step 205) a software application from the web server 20. In one embodiment, the web browser 40 establishes the secure web communication channel 30 using the previously described SSL protocol. In this embodiment, the client 10 (e.g., the web browser 40) authenticates the web server 20 using a public key (e.g., X509) certificate. In a further embodiment, the client 10 is also authenticated to the web server 20 using a public key certificate.

In another embodiment, the web server 20 authenticates the user when the user uses the web browser 40 to request an application from the web server 20. For example, the web server 20 requests the user's login information, which includes the user's login name and password, with a request displayed on the web browser 40. The user provides (step 210) the user's login information to the web browser 40. The web browser 40 subsequently transmits (step 220) the user's login name and password to the web server 20 over the secure web communication channel 30. In another embodiment, the user's login information is any code or method that the web server 20 accepts to identify the user's account on the web server 20.

5

The web server 20 transmits (step 230) the user's login information to the ticket service 60. The ticket service 60 verifies (step 240) the user's login information and determines whether the user is entitled to access the requested application. Depending on the declared communication security policy for that application, the ticket service 60 either refuses or grants access to the application by the user. If the ticket service 60 denies access, the web browser 40 displays an HTML error or an error web page on the client 10. When the ticket service 60 grants access to the requested application, the ticket service 60 generates (step 245) a ticket for the session and transmits (step 250) the ticket to the web server 20.

As described above, the ticket includes a session ID and a session key. The session ID can be used once within a certain time period and makes the ticket a "one-time use" ticket having no further value after its first use. The web server 20 then stores (step 253) the ticket in local memory. In a further embodiment, the web server 20 associates the login information provided by the user in step 210 and other security information used to authorize the session, such as the requested application name, with the stored ticket for later retrieval by the application server 15. The web server 20 subsequently transmits (step 255) the ticket to the client 10 over the secure web communication channel 30.

The web browser 40 extracts (step 260) the session ID from the ticket and presents (step 265) the session ID to the application server 15. The application server 15 checks the session ID to ensure that the session ID has not been used previously with this client 10. In one embodiment, the application server 15 monitors (e.g., stores in local memory) each ticket (i.e., session ID) that the client 10 transmits to the application server 15. In another embodiment, the ticket service 60 checks the session ID to ensure that the session ID has not been used previously with this client 10. In yet another embodiment, the ticket service monitors each ticket that the

5

ticket service 60 transmits to the web server 20 to ensure that each session ID is transmitted to the ticket service 60 only once.

The application server 15 then uses the session ID to determine the session key associated with the presented session ID. To accomplish this, the application server 15 transmits the session ID to the ticket service 60 and requests (step 270) the session key from the ticket service 60 of the web server 20 in response to the session ID. The ticket service 60 accesses local memory and uses the session ID as an index to retrieve the ticket information associated with the session ID. The ticket service 60 then returns (step 280) the session key associated with the session ID to the application server 15.

To increase optimization of the communications between the application server 15 and the web server 20, in an alternate embodiment the web server 20 transmits (shown as phantom step 266) to the application server 15 additional information (e.g., the requested application name, the user's login information) that was previously associated with the ticket in step 253. The application server 15 retrieves (phantom step 267) the additional ticket information and authorizes the communication session from this additional information. This additional information, such as the user's password and/or the name of the requested application, was not transmitted to the application server 15 by the client 10 over the non-secure application communication channel 25, thereby protecting the information from potential attackers. In this embodiment, the application server 15 verifies (phantom step 268) the additional information. If the additional information is not valid, the application server 15 refuses (phantom step 269) access to the requested application by the user. If the additional information is valid, the application server 15 grants access to the requested application and, as described above, requests (step 270) the session key from the ticket service 60.

10

5

### Express Mail Label No.: EM401140800US

In another embodiment, the ticket service 60 performs additional checks on the session ID. For example, the ticket service 60 performs checks on the session ID for early detection of replay (i.e., checking that the session ID has not been previously transmitted to the ticket service 60) and/or Denial of Service (DoS) attacks (i.e., flooding and eventually disabling a remote server with illegitimate packets of data). In yet another embodiment, the web server 20 transmits the first and second portion of the ticket to the application server 15 before the application server 15 requests it (step 270), thus eliminating the request in step 270. In this embodiment, the application server 15 stores the session key in its local memory and retrieves from its local memory the session key after the client 10 presents (step 265) the session ID to the application server 15.

After the application server 15 obtains (step 280) the session key, the application server 15 uses the session key to encrypt communications to the client 10 and to decrypt communications from the client 10 over the application communication channel 25. Similarly, the client 10 uses the session key that the client 10 obtained from the ticket transmitted over the secure web communication channel 30 to decrypt communications from the application server 15 and to encrypt communications to the application server 15. Because the client 10 and the application server 15 use the session key to encrypt and decrypt communications over the application communication channel 25, the client 10 and the application server 15 establish (step 290) the secure communication link 50 over the previously non-secure application communication channel 25. Moreover, because the client 10 and the application server 15 have the session key without transmitting the ticket over the non-secure application communication channel 25 (and thus potentially revealing the session key to third parties), the client 10 and the

5

application server 15 strengthen the security of the communication link 50 over the previously non-secure application communication channel 25.

In one embodiment, the application communication channel 25 is made secure using the SSL protocol. In this embodiment, the ticket service 60 substitutes an application server certificate for the session key in the ticket. The client 10 uses the application server certificate to communicate with the application server 15. The application server certificate is downloaded to the client 10 over the web communication channel 30 in response to a request for the ticket. Therefore, because the application server certificate is downloaded to the client 10 over a secure link (i.e., the web communication channel 30), the application server certificate does not need to be signed by a well-known public CA. Although the client 10 did not have the application server's certificate or the CA key in advance, an authenticated secure connection is established over the application communication channel 25 using the application server certificate included in the ticket.

For example, if the client 10 requests another SSL component (e.g., a separate instance or implementation of the requested software application) and the client 10 does not have the CA certificate in its local memory (e.g., database, local disk, RAM, ROM), the client 10 can use the application server certificate transmitted in the ticket to establish an authenticated secure connection over the application communication channel 25. More specifically, the client 10 uses the application server certificate transmitted in the ticket when the client 10 does not have a CA root certificate stored in its local memory that is associated with the requested SSL component (or when the client 10 has an incomplete list of CA certificates that does not include a CA certificate for the requested SSL component) and the client 10 cannot access the CA database of the web browser 40. Furthermore, because a signed CA certificate is needed for the web server

5

20 but is not needed for an application server 15 (i.e., each application server 15 that is a member of a server farm), the costs (and overhead) of obtaining the required number of signed CA certificates for secure communication is reduced. In another embodiment, the application server 15 stores a private key for decryption of messages that are encrypted with a corresponding public key. The ticket service 60 consequently transmits the corresponding public key of the application server 15 to the client 10 to encrypt communications.

In this embodiment, the session ID still provides additional value, in that it ensures that the client 10 can gain access to the requested application and can gain access one time because ticket service 60 (or web server 20) monitors the ticket (i.e., the session ID). Furthermore, if the application server 15 and the client 10 use different session keys to encrypt and decrypt communications over the application communication channel 25, an eavesdropper cannot modify the session ID transmitted by the client 10 to the application server 15 because the session ID and the cryptographic checksum do not match the checksum expected by the application server 15 (i.e., integrity check). Therefore, the client 10 and the application server 15 determine when different session keys are used (e.g., "man-in-the-middle" attack) by the application server 15 and the client 10 to encrypt and decrypt communications over the application communication channel 25.

In a further embodiment, the session key is substantially equivalent to a null value (i.e., the ticket contains only a nonce or a nonce and a constant value for the session key). When the session key is substantially equivalent to a null value, the client 10 does not transmit the user's login information (e.g., password) between the client 10 and the application server 15 over the non-secure application communication channel 25. Therefore, because the ticket is only valid for a single use and only grants access to a previously authorized resource (e.g., the ICA client

### Express Mail Label No.: EM401140800US

41), the external password exposure can be avoided and individual session level access control can be achieved, even with a null or fixed session key value.

Additionally, because no information is pre-configured into the web browser 40 or the client 10 in order to remotely display the requested application (i.e., because the client 10 does not need to be populated with a server certificate or a CA certificate), the present method is a "zero-install" solution for secure access to desktop applications over the web. Further, the web browser 40 receives the ticket and the ICA client 41 from the web server 20 over the communication channel 30. In this embodiment, the web server 20 transmits the ticket and a MIME type document, as described above, specifying that the data includes a "document" for the ICA client 41 (as a helper application). The MIME type document invokes the ICA client 41 and the web browser 40 transfers the ticket to the ICA client 41, thus allowing the exploitation of the security of the communication channel 30 to secure the application communication channel 25 without having the ICA client 41 pre-installed on the client 10. Having described certain embodiments of the invention, it will now become apparent to one of skill in the art that other embodiments incorporating the concepts of the invention may be used. Therefore, the invention should not be limited to certain embodiments, but rather should be limited only by the spirit and scope of the following claims.

### **CLAIMS**

- 1 l. A method for establishing a secure communication channel between a client and an
- 2 application server comprising the steps of:
- generating by a ticket service a ticket having an identifier and a session key;
- 4 obtaining said ticket from said ticket service;
- transmitting said ticket to a client over a secure communication channel;
- transmitting said identifier of said ticket by said client to an application server over an
- 7 application communication channel;
  - obtaining by said application server a copy of said session key of said ticket from said ticket service; and

encrypting communications exchanged between said client and said application server over said application communication channel using said session key to establish said application communication channel as a secure communication channel.

- 2. The method of claim 1 wherein obtaining said ticket from said ticket service further comprises transmitting said ticket to a web server.
- 3. The method of claim 2 wherein transmitting said ticket to a client further comprises transmitting said ticket by said web server.
- 1 4. The method of claim 2 wherein said ticket service resides on said web server.
- 1 5. The method of claim 2 further comprising transmitting by said application server said
- 2 identifier to said web server over a server communication channel.
- 1 6. The method of claim 5 further comprising receiving by said application server said
- 2 response to transmitting said identifier to said web server.

9

- 1 7. The method of claim 5 further comprising validating by said web server said identifier
- 2 transmitted by said application server.
- 1 8. The method of claim 7 wherein said validating further comprises confirming by said web
- 2 server that said identifier is received by said web server within a certain time frame relative to a
- time that said identifier was transmitted by said web server to said client.
- 1 9. The method of claim 1 wherein said session key is substantially equivalent to a null
- 2 value.
- 1 10. The method of claim 9 wherein said null value is a constant value.
- 1 11. The method of claim 9 further comprising establishing said application communication channel as a secure communication channel.
  - 12. A method for establishing a secure communication channel between a client and an application server comprising the steps of:

establishing a secure web communication channel between a web browser executing on said client and a web server;

receiving a ticket having an identifier and a session key from said web server over said secure web communication channel; and

transmitting said identifier of said ticket to said application server over an application communication channel to provide said application server with information for obtaining a copy of said session key.

- 1 13. A method for establishing a secure communication channel between a client and an
- 2 application server comprising the steps of:
- receiving a ticket having an identifier and a session key over a secure web
- 4 communication channel;

6 communication channel to provide said application server with information for obtaining a copy

7 of said session key; and

8 encrypting and decrypting communications transmitted to and received from said

- 9 application server over said application communication channel using said session key received
- over said secure web communication channel to establish said application communication
- 11 channel as a secure communication channel.
- 1 14. The method of claim 13 further comprising requesting a software application over said
- 2 secure web communication channel.
- 15. The method of claim 13 wherein said identifier is a nonce.
  - 16. The method of claim 13 further comprising using secure socket layer technology to establish said secure web communication channel.
  - 17. The method of claim 13 wherein said ticket is generated by a ticket service.
  - 18. The method of claim 13 wherein said identifier is an application server certificate.
  - 19. The method of claim 18 further comprising using secure socket layer technology to establish said application communication channel.
- 1 20. The method of claim 13 further comprising transmitting a password to said application
- 2 server.

- 1 21. The method of claim 13 further comprising receiving said ticket and a remote display
- 2 protocol application over said web communication channel.
- 1 22. A communication system for establishing a secure communication channel comprising:
- a ticket service generating a ticket having an identifier and a session key;

a communications device in communication with said ticket service to obtain said ticket

4 from said ticket service;

a client in communication with said communications device over a secure

6 communication channel to receive said ticket from said communications device over said secure

7 communication channel; and

10

11

12

13 2 2

1. 21

**2** 

an application server in communication with said client over an application

9 communication channel to receive said identifier of said ticket from said client and in

communication with said ticket service to obtain a copy of said session key from said ticket

service, said application server and said client exchanging communications over said application

communication channel encrypted using said session key to establish said application

communication channel as a secure communication channel.

23. The system of claim 22 wherein said ticket service resides on said communications device.

24. The system of claim 23 further comprising said application server transmitting said identifier to said communications device over a server communication channel.

25. The system of claim 24 further comprising said application server requesting a copy of said session key in response to said identifier.

1 26. The system of claim 25 further comprising said communications device validating said

2 identifier transmitted by said application server.

1 27. The system of claim 26 wherein said communications device validating further comprises

2 said communications device confirming that said identifier has not been previously transmitted

3 by said application server.

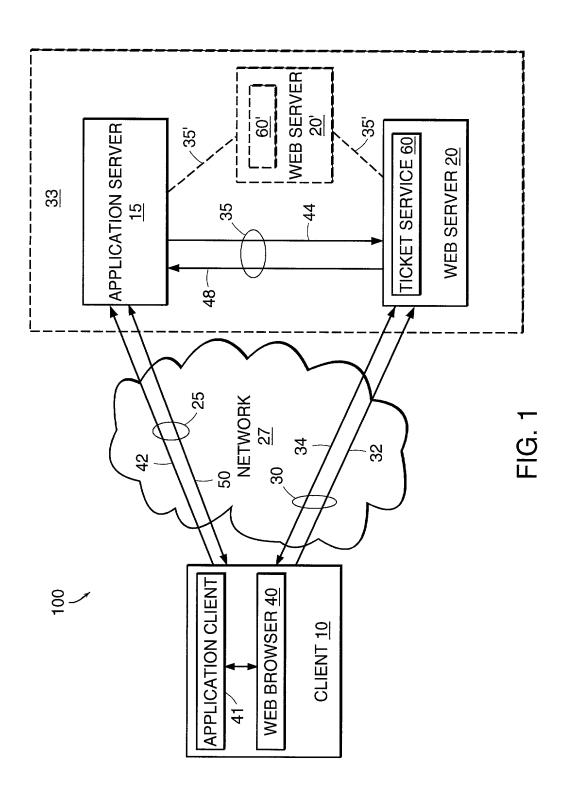
- 1 28. The system of claim 26 wherein said communications device validating further comprises
- 2 said communications device confirming that said identifier is received by said communications
- 3 device within a certain time frame relative to a time that said identifier was transmitted by said
- 4 communications device to said client.
- 1 29. The system of claim 27 further comprising said communications device transmitting said
- 2 session key to said application server over said server communication channel in response to said
- 3 identifier.

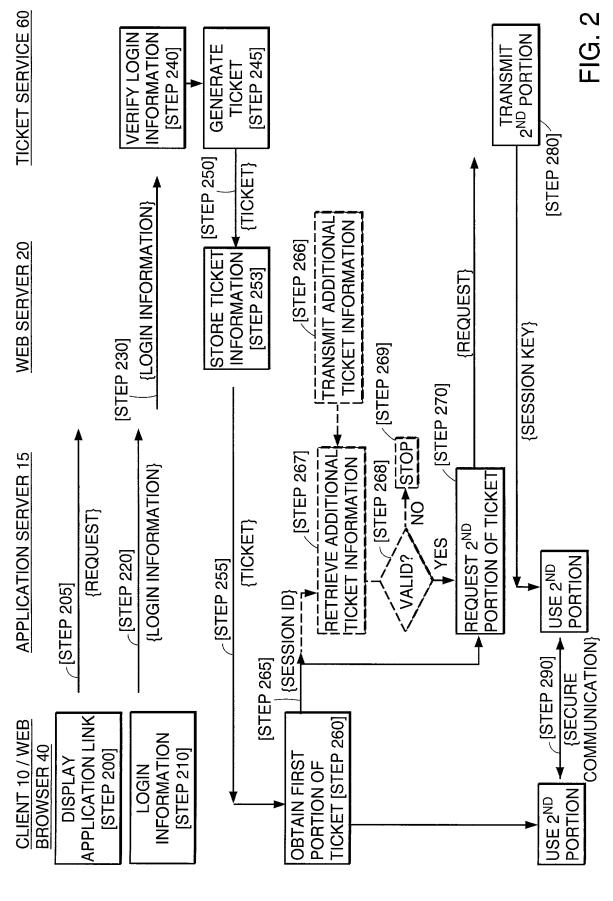
- 1 30. The system of claim 27 wherein said server communication channel is a secure
- 2 communication channel.
  - 31. The system of claim 25 further comprising said communications device transmitting additional information to said application server over said server communication channel.
  - 32. The system of claim 31 wherein said additional ticket information further comprises login information of a user of said client.
  - 33. The system of claim 32 wherein said additional ticket information further comprises a name of a software application executing on said application server.
  - 34. The system of claim 22 wherein said communications device further comprises a web server.
- 1 35. The method of claim 22 further comprising said client transmitting a password of a user
- 2 operating said client to said application server.
- 1 36. The method of claim 22 further comprising said ticket service transmitting information
- 2 corresponding to at least one of said client and a user operating said client to said application
- 3 server.

### **ABSTRACT**

The present invention features a system and method for establishing a secure communication channel between a client and an application server. In one embodiment, a ticket service generates a ticket having an identifier and a session key. A communications device obtains the ticket from the ticket service and transmits the ticket to a client over a secure communication channel. The client transmits the identifier of the ticket to an application server over an application communication channel. The application server then obtains a copy of the session key of the ticket from the ticket service. Communications exchanged between the client and the application server over the application communication channel are then encrypted using the session key to establish the application communication channel as a secure communication channel.

1046514-1





DECLARATION AND POWER			ney Docket No.	CTX	-057						
OF ATTORNEY FO	OR UTILITY	First 1	Named Inventor	Kram	ner et al.						
OR DESI	.GN		CC	OMPLI	ETE IF KNOW	VN					
PATENT APPL	ICATION	Appli	cation Serial Number	Not Y	Yet Assigned						
☐ Declaration ☐ Dec	eclaration	Filing	Date	Here	with						
Submitted with Subm	mitted after Initial	Group	o Art Unit	Not Y	Yet Assigned						
Initial Filing Filin	ng (surcharge	Exam	Examiner Name Not Yet Assigned								
37 C	CFR 1.16(e) required)										
As a below named inventor, I  My residence, post office addre	•	otate/	! !- ! now! to my nam	-							
I believe I am the original, first names are listed below) of the s	t and sole inventor (if o	only one	name is listed below) or	r an ori	ginal, first and tht on the inver	joint inventor (if plural ntion entitled:					
			ing The Security Of A								
		_	on-Secure Communic								
		(Title	of the Invention)								
the specification of which											
is attached hereto OR											
was filed on (MM/DD/YYYY)	was filed on as United States Application Serial Number or PCT International										
Application Number	Application Number and was amended on (MM/DD/YYYY) (if applicable).										
I hereby state that I have review by any amendment specifically	ved and understand the referred to above.	contents	s of the above identified	d specif	ication, includi	ing the claims, as amended					
I acknowledge the duty to discluding 1.56.						-					
I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.											
Prior Foreign Application Number(s)	Country		Foreign Filing Date (MM/DD/YYYY)		Priority Not Claimed	Certified Copy Attached? YES NO					
Additional foreign ap	plication numbers are	listed on	a supplemental priority	y data sl	heet attached h	ereto.					
I hereby claim the benefit under Application Serial Num			ed States provisional appate (MM/DD/YYYY)	plicatio	n(s) listed belo	W.					
	BOT(s)	ening De	ate (MINIDDI I I I I )		serial nui	al provisional application mbers are listed on a ental priority data sheet hereto.					

Declaration and Power of Attorney for Utility or Design Patent Application Atty. Docket No.: CTX-057 Page 2 of 3

	DECLA	RATION – U	tility o	or Design Pa	atent A	pplication		
	I hereby claim the benefit under 35 United States of America, listed belo States or PCT International application which is material to patentability as a PCT international filing date of this a	w and, insofar as the subje on in the manner provided defined in 37 CFR 1.56 wh	ct matter of a by the first n	each of the claims of thi	s application is:	not disclosed in the prior United	n or	
	U.S. Parent Application of Serial Numb	or PCT Parent		Parent Filing Date MM/DD/YYYY)	Parent Patent Number			
				MM/DD/1111)		(if applicable)		
	☐ Additional U.S. or PCT internati	onal application numbers a	re listed on a	supplemental priority	data sheet attach	ed hereto.		
	As a named inventor, I hereby appoir	nt the following registered p	practitioners	to prosecute this application	ation and to tran		_	
	and Trademark Office connected the	rewith: La Customer Ni	ımber		_	Place Customer		
		OR			Number Bar Code Label Here			
		Registered p	ractitioner(:	s) name/registration n	umber listed b		_	
		Registration	1			Registration		
	Name Steven M. Bauer	Number		Name	···	Number		
1	John V. Bianco	31,481 36,748		Thomas C. Meyers		36,989		
11, III	Isabelle A.S. Blundell	43,321		Joseph B. Milstein David G. Miranda		42,897		
	Maureen A. Bresnahan	44,559		Ronda P. Moore		42,898		
ar har har har	Michael H. Brodowski	41,640		Indranil Mukerji		44,244 P-46,944		
	Jennifer A. Camacho	43,526	Edmund R. Pitcher			27,829		
	Joseph A. Capraro, Jr.	36,471		Michael A. Rodrigu	167	41,274		
1	John J. Cotter	38,116		Jamie H. Rose	ICZ.	45,054		
7.2	John V. Forcier	42,545		R. Stephen Rosenhe	olm	45,283		
711	Steven J. Frank	33,497		Christopher W. Star		35,370		
"II" "II" III	Brian M. Gaff	44,691		Diana M. Steel		43,153		
5	Michael J. Giannetta	42,574		Joseph P. Sullivan		45,349		
1	Duncan A. Greenhalgh	38,678		Robert J. Tosti		35,393		
	William G. Guerin	41,047		Thomas A. Turano		35,722		
114.0	Jonathan A. Harris	44,744		Michael J. Twomey		38,349		
2	Ira V. Heffan	41,059		Christine C. Vito		39,061		
	Danielle L. Herritt	43,670		Patrick R.H. Waller		41,418		
-	Douglas J. Kline	35,574		Daniel A. Wilson		45,508		
	John D. Lanza Kurt W. Lockwood	40,060		Yin P. Zhang		44,372		
	Kuit W. Lockwood	40,704						
	Additional registered practitioners named on supplemental Registered Practitioner Information sheet attached hereto.							
	Direct all correspondence to:	Patent Administra Testa, Hurwitz & High Street Towe 125 High Street Boston, MA 021 Tel. No.: (617) 24 Fax No.: (617) 24	Thibeault, er 10 48-7000	LLP				

Declaration and Power of Attorney for Utility or Design Patent Application

· Serial No.

Atty. Drocer No.

Page Buil

I horeby decisic that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like to trade are realisable by fine or impresonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jump clica are realisity of the application or any patent issued thereon.

52,552,5552,553,555,575,575,575,575,575,575,575,575												
APPA SANTA DE COMPANIO POR UN PRANCO PERCE PARA ANTA ANTA MANAGEMENTA PROPERTURA PROPERTURA PARA PARA PARA PARA PARA PARA PARA P						petition has been filed for this unsigned inventor						
The row reason: (first and middle [if any])						Family Name or Surname						
Asdre						Kramer						
Inventor's Stylianin and Comment						Date 2 7-/				10/2000		
Residence	City	Cambrid		State		Country	United King	gdom	Citizenshi	р Сегтап		
Market a secondar a secondar a consuma of the secondary o	Let Angles, Subset Shares	toria Parl	Mari commence						-	AND COMMENT OF THE PROPERTY OF		
		Cambrid		State		ZIP	СВ4 ЗЕЈ	Cour	itry	United Kingdom		
AND CONTRACTOR OF THE CONTRACT	ra 152 pc	ing named	on the	S	upplemental	Additional 1	Inventor(s) she	et(s) at	tached here	io.		
Makes of a solderer re	C. TO DEFENDE DE	W. W. Shirtan and Property and		Take Are even the comme	Ĺ	] A petition	n has been filed	i for th	is unsigned	inventor		
TYEN?	gor (fir	st and mide	ile [if a	1 <b>y]</b> )	540 <del>  </del>	Family Name or Surname						
						Harwood						
Andrew 120					ul	Date 27/0cf 12 chia						
<u> Landens</u>	City	quest,	rel	State	lands	Country	4.10		Citizenshi	U.K.		
	28	Migh	, 5 t-	ve e 7	t, 4-e	atsuc.	Hord o	Can	45 C13	25EH		
elijal. Aritertor ar altera () ( podenie se altera ar altera ar artera ar artera () ()	T)	aunt	Si ie [/	Sinc	Curts	ZIP	CHZSEH	Coun		4.K.		
			_		22-F ANN CONTROL WHICH BY MAN AND MAN THE PARTY OF SEC.	☐ A petit	ion has been fil	led for	this unsign	ed inventor		
Sympletic (first and middle (if any))						Family Name or Surname						
Vindential Control of					Our respective value							
ASTRONOMISS SINGS CO. C						Date						
,									No.			
Remience	377		eros inacemen.	State		Country		I	Citizenship			
Commence of the second of the	"- mus erend	ALTERNATION COMMENTS	L	······································	With the same of t	The second second second	AT AND RESERVED ASSESSMENT		- CONTRACTOR LOCATE			
F.O. 28120 7 (51-2) ; massassassassas ar ar ara ann assa				State	A STATE OF THE STA	ZIP		Coun	try			